ANG 2.8 200 per form PTO 1449		26874 PATENT TRADEMARK OFFICE	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Complete if Known		
	Application No.	10/682,663	
(vac as many shoots as passessary)	Filing Date	October 9, 2003	
(use as many sheets as necessary)	First Named Inventor	Clubb, Ian James, et al.	
	Art Unit	3629	
	Examiner Name		

Sheet	Sheet 1 of 17		Attorney Docket No.		1160215/0527221		
				U.	S. PATENT DOCU	MENTS	
Examiner initials	Cite No.	<del> </del>		MENT NUMBER	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Docum	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/T.H./		US-	6,67	5,153 B1	01-06-2004	Cook et al.	
	İ	US-	6,65	8,568 B1	12-02-2003	Ginter et al.	
		US-	6,65	8,099	12-02-2003	Perkins	
		US-	6,60	1,761	08-05-2003	Katis	
	1	US-	6,59	4,692	07-15-2003	Reisman	
		US-	6,57	78,068	06-10-2003	Bowman-Amuah	
	1	US-	6,39	6,913	05-28-2002	Perkins	
		US-	6,37	4,297	04-16-2002	Wolf et al.	
		US-		'3,950 B1	04-16-2002	Rowney	
		US-	6,36	3,363	03-26-2002	Haller et al.	
		US-	6,32	24,525	11-27-2001	Kramer et al.	
		US-	6,3	1,165	10-30-2001	Coutts et al.	
	1	US-	6,28	32,276	08-28-2001	Felger	
		US-	6,27	<sup>2</sup> ,523	08-07-2001	Factor	
	1	US-	6,25	3,230	06-26-2001	Couland et al.	
		US-	6,25	3,027	06-26-2001	Weber et al.	
		US-	6,23	33,565	05-15-2001	Lewis et al.	
		US-	6,23	30,309	05-08-2001	Turner et al.	
		US-	6,19	9,068	03-06-2001	Carpenter	
		US-	6,17	75,876	01-16-2001	Branson et al.	
		US-	6,16	57,378	12-26-2000	Webber, Jr.,	
		US-	6,1	19,105	09-12-2000	Williams et al.	
		US-	6,08	88,659	07-11-2000	Kelley et al.	
		US-	6,07	2,870	06-06-2000	Nguyen et al.	
		US-	6,05	8,423	05-02-2000	Factor	
		US-	6,04	11,332	03-21-2000	Miller et al.	
		US-		35,342	03-07-2000	Bernstein et al.	
		US-		37,132	11-16-1999	Rowney	
		US-	5,93	38,722	08-17-1999	Johnson	
		US-	5,88	9,863	03-30-1999	Weber	
\/		US-	5,98	33,208	11-09-1999	Haller	

**EXAMINER SIGNATURE** 

US-

5,978,840

DATE CONSIDERED.

Nguyen et al.

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

11-02-1999

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <u>www.uspto.gov</u> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

		DISCLOSURE BY APPLICANT	Complete if Known			
JIAIL		, , Al I GIOMIT	Application No		10/682,663	
4		-4	Filing Date		October 9, 2003	
(use a	is many sne	ets as necessary)	First Named In	ventor	Clubb, Ian James, et al.	
			Art Unit		3629	
			<b>Examiner Nam</b>	е		
Sheet	2	11 26	Attorney Dock	et No.	1160215/0509834	
<del></del>	1		00.00.4000		1	
/T.H./	US-	5,889,863	03-30-1999	Weber Visions et al.		
	US-	5,864,862	01-26-1999 01-12-1999	Kriens et al.  Raz et al.		
_ _ _	US-	5,860,137		Berger et al.		
	US-	5,850,446	12-15-1998 11-17-1998	Roy et al.		
	US-	5,838,909		Koy et al.  Kalantery		
	US-	5,801,938 5,758,351	09-01-1998 05-26-1998	Gibson et al.		
	US-	5,758,351 5,751,961	05-12-1998	Smyk		
_	US-	5,649,164	07-15-1997	Childs et al.		
	US-	5,621,796	05-15-1997	Davis et al.		
+ +	US-	5,544,086	08-06-1996	Davis et al.	·	
	US-	5,539,883	07-23-1996	Allon		
	US-	5,392,390	02-21-1995	Crozier		
	US-	5,062,040	10-29-1991	Bishop et al.		
1	US-	4,901,223	02-13-1990	Rhyne	<del></del>	
	US-	2004/0194087 A1	09-30-2004	Brock et al.		
1	US-	2004/0019900 A1	01-29-2004	Knightbridge et al.		
	US-	2004/0172464 A1	09-02-2004	Nag		
	US-	2004/0133622 A1	07-08-2004	Clubb et al.		
	US-	2004/0128199 A1	07-01-2004	Cusack et al.		
1	US-	2003/0212927 A1	11-13-2003	Navar et al.	····	
	US-	2003/0212834 A1	11-13-2003	Potter et al.		
	US-	2003/0120546 A1	06-26-2003	Cusack et al.		
	US-	2003/0195846 A1	10-16-2003	Felger		
	US-	2003/0195847 A1	10-16-2003	Felger		
	US-	2003/0195848 A1	10-16-2003	Felger		
	US-	2003/0177088 A1	09-18-2003	Nilsson et al.		
	US-	2003/0163431 A1	08-28-2003	Ginter et al.		
	US-	2003/0149662 A1	08-07-2003	Shore		
	US-	2003/0145205 A1	07-31-2003	Sarcanin		
	US-	2003/0140004 A1	07-24-2003	O'Leary et al.		
	US-	2003/0115353 A1	06-19-2003	Deryugin et al.		
	US-	2003/0046094 A1	03-06-2003	Singh et al.		
	US-	2002/0169719 A1	11-14-2002	Dively et al.		
	US-	2002/0194502 A1	12-19-2002	Sheth et al.		
w	US-	2002/0156683 A1	10-24-2002	Stoutenburg et al.		

EXAMINER SIGNATURE	DATE CONSIDERED	
<b>EXAMINER:</b> Initial if reference cor	nsidered, whether or not citation is in conformance with MPEP 609; Draw line through citat	tion if not in
conformance and not considered.	Include copy of this form with next communication to applicant.	

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitut	e for Fo	orm PTC	1449						
				CLOSURE PPLICANT	Complete if Known				
• • • • • • • • • • • • • • • • • • • •					Application No		10	/682,663	
			-4		Filing Date			ber 9, 2003	
(u.	se as n	nany sne	eis as	necessary)	First Named In	ventor ·		n James, et al.	
					Art Unit			3629	
					Examiner Name	e			
Sheet		3	11	26	Attorney Docke	et No.	11602	215/0509834	
77 (1)		1.10	000	0/0402752 44	1 00 04 2002	Cahimmal			
/T.H./		US-		2/0103753 A1 2/0152106 A1	08-01-2002 10-17-2002	Schimmel Stoxen et al.			
					06-20-2002		<del> </del>		
	<b></b>	US-		2/0077978 A1 2/0013767 A1	01-31-2002	O'Leary et al. Katz			
	-	US-		1/0039537 A1	11-08-2001	Carpenter et al.		<del></del>	
<del></del>	<del> </del>	US-		1/0034725	10-25-2001	Park et al.	<del></del>		
$\dashv$		US-		1/0018648	08-30-2001	Turner et al.		_	
	<b></b>	US-		117,706	10-10-2002	Clubb et al.	Conve	rgys Cross Ref	
	<del> </del>	US-		598,951		0.000 0.00		rgys Cross Ref	
		US-		579,402				rgys Cross Ref	
1		US-		66,631				rgys Cross Ref	
		US-		190,844	<u> </u>			rgys Cross Ref	
		US-		709,942		•		rgys Cross Ref	
		US-		82,601	10-09-2003	Clubb et al.	Hydra		
		US-		82,663	10-09-2003	Clubb et al.	Hydra		
		US-	11/5	555,518		Clubb et al.	Hydra		*****
		US-	11/1	197,597	08-04-2005	Clubb et al.	Hydra	IV	
<b>V</b>		US-	11/1	151,930	06-14-2005	Clubb et al.	Hydra	V	
	<u> </u>	_l		FORE	IGN PATENT DO	CUMENTS			
Examiner	Cite		oreian E		IGNITATENTOO	•			T
initials	No.	Country	Foreign Patent Document  Country Code <sup>3</sup> -Number <sup>4</sup> -Kind code <sup>6</sup> (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Where Rele	olumns, Lines, vant Passages or Figures Appear	T°
/T.H./	1			34228 A2	04-22-2004	Clubb et al.		abstract only	
	2	WO 2	002/09	96105 A1	11-28-2002	Dick et al.	Copy Attac		1
	3	WO 2	002/09	96012 A1	11-28-2002	Dick et al.	Copy Attac	· · · · · · · · · · · · · · · · ·	
	4			32305 A2	10-17-2002	Eibach et al.	Copy Attac		
	5			59754 A1	08-01-2002	Roach	Copy Attac	hed	
	6			36570 A1	11-15-2001	Price et al.	Copy Attac		
	7	_		)1300 A1	01-04-2001	Hilson	Copy Attac		
	8			)1313 A2	01-04-2001	Lorenzen	Copy Attac		
	9	WO 2	000/00	00915 A1	01-06-2000	Blandina et al.	Reviewed Copy Attac	abstract only thed	
V	10	WO 1	999/13	3426	03-1999	Kelley et al.	Copy Attac		

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference cor	asidered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered.	Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

		MATION DIS			Complete	if Known		
• • • • • • • • • • • • • • • • • • • •				Application No.		10/682,663		
,	/uso o	many chaote as	nocossan/l	Filing Date October 9, 200				
(-	use as	s many sheets as	Hecessary	First Named Inv	ventor	Clubb, lan James, et al.		
			Art Unit		3629			
	·····		· · · · · · · · · · · · · · · · · · ·	Examiner Name	9			
Sheet		4 11	26	Attorney Docke	et No.	1160215/0509834		
/T.H./	11	WO 1998/0	13797 A2	04-02-1998	Nguyen et al.	Reviewed abstract only Copy Attached		
	12	WO 1998/0	10381 A1	03-12-1998	Shear et al.	Copy Attached		
	13	WO 1998/0		02-05-1998	Rowney	Reviewed abstract only Copy Attached		
	14	WO 1997/0	49055	12-24-1997	Kramer et al.	Reviewed abstract only Copy Attached		
$\overline{V}$	15	WO 1997/04	49052	12-24-1997	Nguyen et al.	Reviewed abstract only Copy Attached		
T.H./	1	ARTICLES/PRESENTATIONS  The ACE Programmer's Guide – ISBN 0-201-69971-0  Source Unavailable						
1417		Source Unavaila		Berkeley DB by New Riders Library of Congress Catalogue # 00-109051  Source Unavailable				
1317	2	Berkeley DB by	New Riders Library	of Congress Catalog	ue # 00-109051			
1.11./	3	Berkeley DB by	New Riders Library ble Definition	of Congress Catalog	ue # 00-109051			
1.11./		Berkeley DB by Source Unavaila JAVA Language Source Unavaila	New Riders Library ble Definition ble		ue # 00-109051 lessaging (O'Reilly X	ML)		
1.11./	3	Berkeley DB by Source Unavaila  JAVA Language Source Unavaila  ADAMS, D. J., Rejected messag	New Riders Library ble Definition ble Programming Jabber ing approach used fo	r: Extending XML M				
1.11.1	3	Berkeley DB by Source Unavaila JAVA Language Source Unavaila ADAMS, D. J., Rejected messag Source Unavaila	New Riders Library ble Definition ble Programming Jabber ing approach used fo	r: Extending XML M or real time chat proto	lessaging (O'Reilly X ocols. (Probably no re			
1.11./	3	Berkeley DB by Source Unavailad JAVA Language Source Unavailad ADAMS, D. J., Rejected messag Source Unavailad FOSTER, IAN,	New Riders Library ble Definition ble Programming Jabber ing approach used fo ble The Grid: Blueprint	r: Extending XML M or real time chat proto	lessaging (O'Reilly X ocols. (Probably no re	ference needed)		
1.11.7	3	Berkeley DB by Source Unavaila  JAVA Language Source Unavaila  ADAMS, D. J., Rejected messag Source Unavaila  FOSTER, IAN, applications Source Unavailal	New Riders Library ble  Definition ble  Programming Jabber ing approach used for ble  The Grid: Blueprint	r: Extending XML M or real time chat proto for a New Computin	lessaging (O'Reilly X ocols. (Probably no re	ference needed)		

EXAMINER SIGNATURE	DATE CONSIDERED .	
EXAMINER: Initial if reference considered, whether or no	ot citation is in conformance with MPEP 609; Draw line through citati	on if not in
conformance and not considered. Include copy of this for	orm with next communication to applicant.	· •

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute fo	or Form PTC	1449				
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known		
				Application No.	10/682,663	
(400	as many she	oto oo	200000001	Filing Date	October 9, 2003	
(use	as many sne	eis as	necessary)	First Named Inventor	Clubb, Ian James, et al.	
				Art Unit	3629	
	•			Examiner Name		
Sheet	5	11.	26	Attorney Docket No.	1160215/0509834	

T.H./		7	IBM Web services provisioning for Websphere; Web Services Hosting Technology Version 1.1, White Paper:  Overview and Introduction				
1			Source Unavailable				
		8	Reviewed Abstract Only				
ŀ			Privacy-preserving inter-database operations				
			ISI 2004: intelligence and security informatics: Tucson AZ,				
			10-11 June, 2004, Gang Liang; Chawathe Sudarshan S; Chen Hsinchun ed; Moore Reagan ed; Zeng Daniel D ed; Leavitt John ed Computer Science Department, University of Maryland College Park, Maryland 20742 United States Conference: Symposium on intelligence and security informatics, 2, (Tucson AZ USA),				
			2004-06-10 Lecture notes in computer science; 2004, Volume: 3073, Page: 66-82				
$\bigvee$	•		We present protocols for distributed computation of relational intersections and equi-joins such that each site gains no information about the tuples at the other site that do not intersect or join with its own tuples. Such protocols form the building blocks of distributed information systems that manage sensitive information, such as patient records and financial transactions, that must be shared in only a limited manner. We discuss applications of our protocols, outlining the ramifications of assumptions such as semi-honesty. In addition to improving on the efficiency of earlier protocols, our protocols are asymmetric, making them especially applicable to applications in which a low-powered client interacts with a server in a privacy-preserving manner. We present a brief experimental study of our protocols. (24 ref.)				

EXAMINER SIGNATURE	·	DATE CONSIDERED	
EXAMINER: Initial if reference considered,	whether or not citation is	s in conformance with MPEP 60	9; Draw line through citation if not in

conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for	or Form PT	O 1449				
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known		
		-		Application No.	10/682,663	
4.00		naata aa i	200000001	Filing Date	October 9, 2003	
(use	as many si	ieels as i	necessary)	First Named Inventor	Clubb, Ian James, et al.	
				Art Unit	3629	
				Examiner Name		
Sheet	6	11	26	Attorney Docket No.	1160215/0509834	

/T.H./	9	Reviewed Abstract Only
1		HOUCK, D.J.; Kim, E.; O'Reilly, G.P.; Picklesimer, D.D.; Uzunalioglu, H.
		A Network Survivability Model For Critical National Infrastructures, QoS Manage. & Assessment Group, Lucent Technol., Holmdel, NJ, USA Bell Labs Technical Journal, vol.8, no.4,
		Page: 153-72 Publisher: Lucent Technologies, 2004
		Critical national infrastructures for power, finance, transportation, and other basic resources rely on information and telecommunications networks (voice, data, Internet) to provide services and conduct business. While these networks tend to be highly reliable, disasters may lead to extended outages requiring days/weeks to repair. These outages can cause loss of emergency services, financial transaction failures, power distribution and transportation inefficiencies, and other malfunctions, resulting in inconvenience, financial ruin for individuals or businesses, or even loss of life. In this paper, we describe the life cycle of a disaster first and then present an approach for modeling information network disasters and their impact on other national infrastructures. Central to the approach is a simulation engine that Bell Labs has developed. The engine uses publicly available data (e.g., demographics, census, infrastructures) and, coupled with Bell Labs' network design and operational expertise, it effectively models network performance. This is particularly useful in the analysis of failure scenarios during and after a network disaster, providing insight for improving networks, procedures, and policies. (8 References)
	10	Convergys Corporation, Infinys: Geneva Rating and Billing, Administration and Maintenance, Release 5.3. 2001-2004", (pp 64-70) Convergys, Cincinnati, Ohio USA, pp. 64-70
		[Hereinafter, Geneva] There is described a rating and billing system comprising the following elements:  Consolidator, LoadStage*, and SortMergeDaemonProcess.
		In Geneva, the Consolidator and the SortMergeDaemon sorts the daily records and groups all call records of an account together. These elements store records in a bifurcated fashion to achieve greater retrieval efficiency by using one element (e.g., Consolidator) to managed newly arrived records and using the other element (e.g., SortMergeDaemon) to archive records in formats more suitable for CSR/Billing inquiries. LoadStage I processes usage transactions when the USAGE_STATUS_IND is set to a predetermined value. It reads the BLOB files and writes out the data to various predetermined files.
		Geneva also utilizes a File Control Database. It uses the database to hold references to files in the operating system. The references, however, represent the entire file. Thus, when one wants to process a file in Geneva, the entire file is made on the operating system. When finished, an entry is made in the FCD and away it goes.

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered,	whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include of	ony of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute f	or Form PTC	1449			
INFORMATION DISCLOSURE Complete if Known STATEMENT BY APPLICANT				ete if Known	
				Application No.	10/682,663
(1100	as many she	oto on n	ooossaad	Filing Date	October 9, 2003
l (use	as many sne	els as n	ecessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	7	11	26	Attorney Docket No.	1160215/0509834

/T.H./	11	Reviewed Abstract Only	
		AYAD, N.; Verbraeck, A. Dept. of Syst. Eng., Delft Univ. of Technol., Netherlands Conference: 36th Hawaii International Conference on Systems Sciences, Page: 10 pp. Publisher: IEEE Comput. Soc, Los Alamitos, CA, USA, 2003, CD-ROM Pages Conference: 36th Hawaii International Conference on Systems Sciences, 6-9 January, 2003, Big Island, HI, USA	
		System Architecture For Cross Border Payment: A Case Study For The Financial Services Industry	
		The financial services industry is changing rapidly as a result of advances in information technology (IT), telecommunications and the Internet. Technological innovations and increasing customer demand have led to the emergence of new services and new organizational forms for financial services firms. Willingly or unwillingly, banks are being forced to move toward worldwide operation. This enables them to offer services and credit facilities on a global scale, tailored to customers regardless of where they are based. However, variations among national markets present obstacles as well as opportunities to companies attempting to "go global." This paper describes specific problems and solutions for the globalization of banking services, and a case study carried out on payment services for an international bank to develop system architecture for cross border payment. The proposed architecture aims to keep apart of the processes local, but transfers the core of the transaction operations to a centralized system with clear services and clear interfaces. The bi-directional translation of formats	
	12	MASAUD-WAHAISHI, A., et al., <u>Brokering Services in Cooperative Distributed Systems: Privacy Based Model</u> , EC-Wcb 2003, LNCS 2738, pp. 435-444	
	13	Axis Beta 1 documentation, 2002  http://ws.apache.org/axis/java/index.html	
	14	GRAHAM, STEVE, et al., <u>Building Web Services with Java: Making Sense of XML, SOAP, WSDL and UDDI</u> , Sams Indianapolis, Indiana, 2002	
		http://www.amazon.com/Building-Web-Services-Java-Developers/dp/0672326418	
W		(link is to 2nd edition, we used 1st edition)	ļ

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference considered	ed, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include	te copy of this form with next communication to applicant

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

INFORMATION DISCLOSURE Complete if Known STATEMENT BY APPLICANT					ete if Known
				Application No.	10/682,663
/400	as many sh	oots as	nacassand	Filing Date	October 9, 2003
(036	as many sn	eers as	ilecessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	8	11	26	Attorney Docket No.	1160215/0509834

	15	IRANI, ROMIN, S. JEELANI BASA, Axis, Next Generation Java SOAP, May 2002, Wrox Press,
/T.H./	15	Birmingham, UK
		http://www.amazon.com/AXIS-Next-Generation-Java-SOAP/dp/1861007159
		Publisher: Peer Information; 1st edition (May 2002)
	ļ	ISBN-10: 1861007159
		ISBN-13: 978-1861007155
	16	IYENGAR, et al., Enhancing web performance, Communication Systems. State of the Art. IFIP 17 <sup>th</sup> World Computer Congress - TC6 Stream on Communication Systems: The State of the Art, 2002, pp. 95-126
		An overview of the techniques for improving Web performance by supporting high volume Web traffic is provided. For improving server performance, multiple Web servers can be used in combination with efficient load balancing techniques. Also discussed is how the choice of server architecture affects performance. Content distribution networks (CDNs) and the routing techniques that they use are also examined. While Web performance can be improved using caching, a key problem with caching is its consistency. Different techniques for achieving varying forms of cache consistency are presented.
		DESCRIPTOR(S)- cache storage; computer architecture; network servers; telecommunication network routing; Internet; Web sites
		IDENTIFIER(S)- adaptive TTL algorithms; cache consistency; content distribution networks; dynamic Web content serving; event driven servers; in kernel servers; load balancing; process based servers; server architecture; telecommunication network routing; thread based servers; CDN; Web caching; Web performance improvement; Web servers
		TREATMENT CODE- TC-B; TC-G
		SECTIONAL CLASSIFICATION CODE- B6210L; B6150P; C7210N; C5630; C5220; C5620W
V	17	WANG, T, et al., A Distributed Secure E-Commerce Model with a Non-Secure Merchant Server for Developing Nations, IKE 2002 International Conference

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference con	isidered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered.	Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

	RMATION EMENT B'		LOSURE PLICANT	Compl	ete if Known
				Application No.	10/682,663
/	as many shee	to oo n	00000001	Filing Date	October 9, 2003
(use	as many snee	is as ii	ecessary)	First Named Inventor	Clubb, lan James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	9	11	26	Attorney Docket No.	1160215/0509834

/т.н./

18

## **Reviewed Abstract Only**

SYCARA, K. Sch. of Comput. Sci., Carnegie Mellon Univ., Pittsburgh, PA, USA Conference: Proceedings of the First International Joint Conference on Autonomous Agents and Multiagent Systems, Page: 1044 Publisher: ACM, New York, NY, USA, 2002, CD-ROM Pages Conference: AAMAS '02: First International Joint Conference on Automomous Agents and Multi-Agent Systems, 15-19 July, 2002, Bologna, Italy

Agents Supporting Humans And Organizations In Open, Dynamic Environments

Summary form only given. The presence of the digital infosphere and the continuous growth of e-commerce have generated important shifts in the ways people and organizations get information and make decisions. These shifts necessitate increased automation and creation of infrastructure, standards and policies to enable machines to automatically access information, understand it, fuse it as needed, and engage in collaborative problem solving to support decision making. Fulfilling such goals presents many challenges, including semantic interoperability, agent-based collaboration, information customization, automated and flexible service discovery and transactions across the Internet. Services are discovered and invoked manually by human users. In the near future, such service discovery and use will be mediated by agents acting on behalf of humans. This opens the possibilities for agents and humans to be team partners and coordinate sharing information, responsibility and control according to the task requirements. There are many challenges to accomplish such collaboration. A crucial one is making the Web agent-understandable, i.e. allowing for semantic annotation of content. The combination of the semantic Web and agent technology is the harbinger of the next Web revolution. Instead of being populated only with human-readable documents, the Web will be populated with agent-mediated services. In addition, agents will support human decision-making and human institutions through autonomous interactions, such as negotiations, coalition formation, and agent-mediated markets. In the Laboratory of Advanced Agent Technology at Carnegie Mellon University, the author has been developing multiagent infrastructure, tools, and algorithms that comprise a Reusable Environment of Task-Structured Intelligent Networked Agents (RETSINA). This infrastructure can be used for developing distributed heterogeneous intelligent agents that interact in various ways including a peer-to-peer manner, as well as agent-mediated services that describe themselves in semantically meaningful ways, discover one another dynamically, interoperate and compose themselves on-the-fly and on-demand, given particular tasks and goals to be fulfilled. This infrastructure has been used to support humans and organizations in open and dynamic environments, where information sources, agents and communication links may appear and disappear dynamically. The developed multiagent applications range from financial portfolio management, to distributed crisis action planning, team coordination, reactive and anticipatory assistance, location-based collaboration and e-commerce. She gives an overview of agent research and presents current research results and future challenges. Up until now, this vision has been conceived and pursued mainly in academia and research labs. However, recent industrial interest in flexible interoperable automated transactions, Web services, and the availability of tools to enable some form of service automation (e.g. UDDI, WSDL, X-lang, WSFL, e-speak, NET, etc.) holds the promise of fast progress in this area.

FΥ	$\Delta N$	IINER	SIGN	ATURE

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. ³ Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute f	or Form PTC	1449			
INFORMATION DISCLOSURE Complete if Known STATEMENT BY APPLICANT					ete if Known
				Application No.	10/682,663
(use as many sheets as necessary)				Filing Date	October 9, 2003
luse	as many sne	36(2,92,11)	ecessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	10	11	26	Attorney Docket No.	1160215/0509834

/T.H./	19	Cygent Smart Component Server Concepts Guide - Version 4.0, SCSC40, 6/5/2002, General Release  Source Unavailable	
	20	Siebel eBusiness Applications: Integration Business Process Summary Document, eCommunications, eMedia, Version 7.5.2, UAN 1.1 CME, Document Version 2.0, November, 2002  Source Unavailable	
	21	Reviewed Abstract Only	
		HAKOMORI, S.; Taniguchi, H. Dept. of Inf. Technol., NTT Data Corp., Tokyo, Japan Systems and Computers in Japan, vol.33, no.14, Page: 59-71 Publisher: Scripta Technica, December, 2002	
		An Operating System For An Online Transaction Processing System With A Heavy Load	
		In this paper, we describe an operating system for terminal controller which controls communication lines and terminals in a large-scaled distributed transaction processing system. Since the controller deals with a lot of transaction requests from terminals concurrently, its operating system needs to manage resources efficiently in order to guarantee the maximum response time. Besides, system availability and efficiency for system maintenance are also required, therefore the operating system has to provide essential facilities. Our operating system was developed to satisfy such requirements in a practical way. This paper introduces the major features, evaluation results, and states of the application. (11 References)	
	22	ALLAMARAJU, SUBRAHMANYAM (Editor), et al., Professional Java Server Programming J2EE, 1.3 Edition, (Perfect Paperback – September, 2001): An example of one of the many Java J2EE texts.	-
		http://www.amazon.com/Professional-Java-Server-Programming-J2EE/dp/1861005377	
		Publisher: Wrox Press; 1st edition (September 2001)	
		ISBN-10: 1861005377	
		ISBN-13: 978-1861005373	
	23	Siebel eBusiness Application Integration Volume I, eBusiness Applications, Version 7.0, 10PA1-0V00-07000, September, 2001	
:		Source Unavailable	
$\sqrt{}$	24	Siebel eCommunications Guide: eBusiness Applications Version 7.0 80PA1-CG00-70000, December, 2001  Source Unavailable	

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered,	whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include	copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute f	or Form PTC	1449			•
			LOSURE	Compl	ete if Known
				Application No.	10/682,663
(use as many sheets as necessary)				Filing Date	October 9, 2003
				First Named Inventor	Clubb, lan James, et al.
				Art Unit	. 3629
				Examiner Name	
Sheet	11	11	26	Attorney Docket No.	1160215/0509834

/T.H./	25	CHANG, et al., A pipe-embeded-component assembly mechanism in CORBA environment, IEEE 2000, pp. 283-288
	26	Reviewed Abstract Only
		LITTLE, Hayward; Esterline, A. North Carolina Agricultural and Technical State Univ, Greensboro, NC, USA Conference: IEEE SoutheastCon 2000 'Preparing for the New Millennium', Nashville, TN, USA, 19000407-19000409, (Sponsor: IEEE Region-3; Vanderbilt University; Tennessee State University; Tennessee Technological University; et al.) Conference Proceedings - IEEE Southeastcon 2000. IEEE, Piscataway, NJ, USA. p 64-67, 2000
		Agent-Based Transaction Processing
		The increase in the popularity of agents and transactions has made it necessary to develop a framework for multiagent interaction. Traditional database transactions, which use ACID properties, must be extended to meet the needs present in an agent, peer-to-peer environment. By encapsulating our agents and having them conform to new commitment rules, transactions can be done safely and effectively. (Author abstract) 6 Refs
	27	RUSSELL, TRAVIS, Signalling System #7, reference for distributed architectures used in switched phone network.
		http://www.amazon.com/Signaling-System-7-Travis-Russell/dp/0071361197
		Publisher: McGraw-Hill Companies; 3rd edition (June 19, 2000)
		ISBN-10: 0071361197
		ISBN-13: 978-0071361194
	28	MORI, M., et al., <u>Proposal of Application Architecture in Electronic Commerce Service Between Companies</u> , WECWIS International Workshop, 1999
	29	PAIK, 1., Universal Electronic Commerce Framework and Distributed Object Services Based on SET Protocol, IASTED Conference, Software Engineering, 1998
	30	Signal and Image Processing (SIP '98), Proceedings of the IASTED International Conference, Las Vegas, Nevada – USA
$W_{-}$		Complete Source Unavailable

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference consid-	ered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Inc	lude copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>8</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute f	or Form PTO	1449			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
				Application No.	10/682,663
(una na manu abanta na naganan)				Filing Date	October 9, 2003
(use as many sheets as necessary)			Hecessary)	First Named Inventor	Clubb, lan James, et al.
			•	Art Unit	3629
				Examiner Name	
Sheet	12	11	26	Attorney Docket No.	1160215/0509834

/T.H./	31	Reviewed Abstract Only
1		ISHIZAKA T, Hyou K Bit Inc., Jpn; Dalian Univ. Technol., Chn Joho Shori Gakkai Shinpojiumu Ronbunshu, 1998, Volume: 98, Number: 14, Page: 147-151
		TimeCube-a Temporal Data Warehouse and Its Distributed Applications
		TimeCube is a new product which has being designed and developed in our department. In this paper we will explain characteristics of TimeCube and its technical points of the design and implementation. It is a new type of Data Warehouse which can collect and store time-varying data automatically. There are three types of data stored in databases, transaction type data, aggregated type data and master type data. TimeCube belongs to the master type data based on the state model. Many time query methods such as period query, history query, period length query, event query etc. and their combination query are also described. TimeCube is very adaptable to distributed computing environments and applications based on a Client/Server model. A lot of distributed potential applications in personnel, business, traffic, and financial departments etc. are also illustrated. (author abst.)
	32	Reviewed Abstract Only
		TREC'98: trends in distributed systems for electronic commerce: Hamburg, 3-5 June 1998
		PAPAZOGLOU M P; Jeusfeld M A; Weigand H; Jarke M; Lamersdorf Winfried ed; Merz Michael ed Infolab, Tilburg University 5000 LE Tilburg Netherlands; RWTH Aachen, Informatik V 52056 Aachen Germany Conference: International IFIP/GI working conference, (Hamburg DEU), 1998-06-03 Lecture notes in computer science, 1998, Volume: 1402, Page: 192-204
	}	Distributed, Interoperable Workflow Support For Electronic Commerce
$\bigvee$		This paper describes a flexible distributed transactional workflow environment based on an extensible object-oriented framework built around class libraries, application programming interfaces, and shared services. The purpose of this environment is to support a range of EC-like business activities including the support of financial transactions and electronic contracts. This environment has as its aim to provide key infrastructure services for mediating and monitoring electronic commerce. (16 ref.)

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered,	whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include of	opy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
(use as many sheets as necessary)				Application No.	10/682,663
				Filing Date	October 9, 2003
				First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
•				Examiner Name	
Sheet	13	11	26	Attorney Docket No.	1160215/0509834

/T.H./

33

## **Reviewed Abstract Only**

BALASUBRAMANIAN, R.; Haskell, L.; Karmarkar, V.; Lackey, J.; Yatchman, M. Lucent Technol., USA Conference: ISS'97: World Telecommunications Congress. 'Global Network Evolution: Convergence or Collision?'. Proceedings Part: vol.2, Page: 105-12 vol.2 Publisher: Pinnacle Group, Toronto, Ont., Canada, 1997, 2 vol. (xxxiv+591+633) Pages Conference: Proceedings of ISS'97 International Switching Symposium, Sponsor: Alcatel Canada, Bell Canada, BC Tel, Island Telphone Co., Manitoba Telecom Serv., et al, 21-26 Sept. 1997, Toronto, Ont., Canada

## Toward Object-Web-Based Service Provider Infrastructure For E-Commerce Transactions

The emergence of the World-Wide Web (WWW) as the pervasive and ultimate open framework for multi-computer and multi-party collaboration has spurred rapid evolution of online business transaction processing and delivery architectures. The promise of heterogeneous networked systems inter-operating to conduct secure multi-party commerce over the Internet with object-based transaction processing technologies is just being realized. The Web model's span of application across computer and communication networks from corporate private backbones (intranets) to global public backbones (Internets), and several grades of sub-networks in between (virtual intranets or extranets), has created the universal "plumbing" scenario for the next decade. Distributed object computing (DOC) standards that will both utilize and incrementally enhance this plumbing are fuelling competition between "network" and "network-edge" technology companies in the creation of the next generation of electronic commerce (E-commerce) overlay infrastructures. The dominant criteria driving choices can perhaps be best categorized into two powerful dimensions, namely, psychological and economical, where decisions to locate essential object services for E-commerce will need to address a mix of security, reliability and economies-of-scale attributes. This paper propositions a road-map to rapid collaborative approaches where network providers (NP) and content providers (CP) can offer best-in-class E-commerce transaction services by addressing these attributes simultaneously. (11 References)

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference considered	, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include	copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

INFOR		DISC	CLOSURE	Compl	ete if Known
·			. 2.0,	Application No.	10/682,663
(use as many sheets as necessary)				Filing Date	October 9, 2003
				First Named Inventor	Clubb, lan James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	14	11	26	Attorney Docket No.	1160215/0509834

/T.H./	34	Reviewed Abstract Only
/ I.n./		VOGLER, Hartmut; Kunkelmann, Thomas; Moschgath, Marie-Louise Darmstadt Univ of Technology, Darmstadt, Ger Conference: Proceedings of the 1997 International Conference on Parallel and Distributed Systems, Seoul, South Korea, 19971210-19971213, (Sponsor: IEEE) Proceedings of the International Conference on Parallel and Distributed Systems - ICPADS 1997. IEEE Comp Soc, Los Alamitos, CA, USA,97B100215. p 268-274, 1997
		Approach For Mobile Agent Security And Fault Tolerance Using Distributed Transactions
		Mobile agents are no longer a theoretical issue since different architectures for their realization have been proposed. With the increasing market of electronic commerce it becomes an interesting aspect to use autonomous mobile agents for electronic business transactions. Being involved in money transactions, supplementary security features for mobile agent systems have to be ensured. In this paper we present an architecture for a mobile agent system which guarantees security for the host as well as security for the agent. This architecture additionally offers fault tolerance for the whole agent system at a high level. To handle these issues for mobile agents we use various encryption mechanisms and we apply a novel method for mobile agent systems by using distributed transactions processing based on the OMG Object Transaction Service in our architecture. With this security architecture an agent will be enabled to do money transactions. (Author abstract) Refs.
	35	Reviewed Abstract Only
		LINN, C.; Howarth, B. Dept. of Comput., Univ. of Western Sydney, Nepean, NSW, Australia, Page: 203-12 Publisher: IEEE Comput. Soc. Press, Los Alamitos, CA, USA, 1994, xii+272 Pages Conference: Proceedings of 3rd International Conference on Parallel and Distributed Information Systems, Sponsor: IEEE Comput. Soc. Tech. Committee on Data Eng., ACM SIGMOD, Bellcore, US West, 28-30 September, 1994, Austin, TX, USA
	1	A Proposed Globally Distributed Federated Database: A Practical Performance Evaluation
	,	Many organisations are now planning to move their operations from total reliance on centralised databases towards distributed environments which may involve the interoperability of a number of heterogeneous databases. This study looks at a particular case for an international financial institution, with the likely performance of a proposed globally distributed federated database being compared with the performance of the current centralised system. The performance model developed includes submodels for transaction structure and management, user workload and distributed heterogeneous databases. Simulations focus on response times for a particular class of credit control/deal entry transactions in the presence of a background load. The results demonstrate that the proposed federated database outperforms the current centralised system, and that this is achievable using currently available technology. (25 References)

EXAMINER SIGNATURE	DATE CONSIDERED	<u>.                                    </u>
EXAMINER: Initial if reference considered, whether	er or not citation is in conformance with MPEP 609; Draw line	through citation if not in
conformance and not considered. Include copy of	f this form with next communication to applicant.	

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute	for Form PTC	1449			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Compl	ete if Known
				Application No.	10/682,663
1400	as many she	note on r	200000001	Filing Date	October 9, 2003
(use	as many sne	<del>20</del> 15 85 1	lecessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	15	11	26	Attorney Docket No.	1160215/0509834

/T.H./	36	Reviewed Abstract Only	
131.7	į	LEE, P.C.; Ghosh, S. Integration Services Div., Andersen Consulting, Kuala Lumpur, Malaysia IEEE Journal on Selected Areas in Communications, vol.12, no.6, Page: 1072-87, August, 1994.	
		NOVAHID: A Novel Architecture For Asynchronous, Hierarchical, International, Distributed, Real-Time Payments Processing	
		The paper introduces a novel architecture for asynchronous, hierarchical, international, geographically distributed, real-time banking, NOVAHID. NOVAHID is organized as a hierarchical approach. The paper assumes that nations may be organized into unique and autonomous entities, termed groups. The lower level of the hierarchy consists of discrete "group-networks" where each group-network is synthesized from the Equivalent Federal Reserve banking nodes of the nations served by the group-network. At the highest level of the hierarchy, representative entities of the groups are interconnected through a "top-level-network". The hierarchy reflects the underlying assumption that a significant fraction of all transactions is local to the group-networks. NOVAHID utilizes the principles of YADDES, which embodies the principle of an asynchronous, discrete-event simulation algorithm for cyclic circuits and mathematically guarantees the accuracy of the execution of events. Each banking transaction is modeled as an event in discrete-event simulation. NOVAHID guarantees the accuracy of every transaction and, hence, the accurate balance of every account at all times. NOVAHID offers to any user the banking privileges of withdrawal, deposit, and transfer anywhere and at any time in the world. The paper also describes a model and implementation of NOVAHID on a loosely coupled parallel processor. Performance measures are also reported. (19 References)	
	37	Reviewed Abstract Only	
		LEE, Tony; Ghosh, Sumit Brown Univ, Providence, RI, USA Simulation v 62 n 3 Mar 1994. p 180-201, 1994	
		Distributed Approach To Real-Time Payments-Processing In A Partially-Connected Network Of Banks.  Modeling And Simulation	
	-	This paper observes that the banking process may be mathematically mapped to a discrete-event simulation system with feedback loops. This approach distributes the processing operations to multiple, concurrent, cooperating geographically distributed computers. It mathematically guarantees the accuracy of every transaction. 21 Refs.	

EXAMINER SIGNATURE _		DATE CONSIDERED
CMANAINICO, Indiana is an forma	iddb-ab a- a-d -id-dia i- i-	named and a suith MADE

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

	or Form PTO		LOSURE	Compl	ete if Known
STATEMENT BY APPLICANT					
• • • • • • • • • • • • • • • • • • • •				Application No.	10/682,663
4400	aa manu aha	oto oo n	oooccond	Filing Date	October 9, 2003
luse	as many shee	915 as 11	ecessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	16	11	26	Attorney Docket No.	1160215/0509834

/T.H./	38	Reviewed Abstract Only	
/1.0./		LEE, YH.; Yu, P.S.; Iyer, B.R. IBM Thomas J. Watson Res. Center, Yorktown Heights, NY, USA IEEE Transactions on Computers, vol.C-36, no.8, Page: 976-87, August, 1987	;
		Progressive Transaction Recovery In Distributed DB/DC Systems	
		To perform large amounts of on-line transactions processing, several database management (DB) and data communication management (DC) subsystems can be coupled together to form a distributed DB/DC system. A key problem is to provide these distributed systems with effective means to recover transactions upon failure, while paying little performance penalty during normal processing. Also, there should be minimal interference with fault-free components during the recovery of a failed component. By decentralizing recovery management, and using transaction-level structural information to eliminate costly lower-level handshaking protocols, progressive transaction recovery protocols seek to solve the problem. A queueing model for evaluating the transaction response time during normal processing for progressive and pessimistic protocols is developed and solved, via simulation. The progressive recovery protocols are shown to reduce normal processing overhead and lead to performance improvement over the pessimistic protocol. (23 References)	
	39	CIFS - Common Internet File System. Microsoft sponsored alternative to NFS.	
		http://www.microsoft.com/mind/1196/cifs.asp	
	40	Dell PowerEdge 1655MC server.	
		Documentation/vendor products re: cluster in a chassis with the following features: node management, Hot swap, Integral Gigabit Ethernet networks, SAN or Network Attached Storage support, Integral storage modules	:
	41	VI: Virtual Interface: Fast memory to memory transfers over network.	
		Virtual Interface Architecture	ļ
		Specification: ftp://download.intel.com/design/servers/vi/VI_Arch_Specification10.pdf	]
		WEBSITES	
	1	IBM: http://www-03.ibm.com/systems/bladecenter/products/	
		Documentation/vendor products re: cluster in a chassis with the following features: node management, Hot swap, Integral Gigabit Ethernet networks, SAN or Network Attached Storage support, Integral storage modules	

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, v	whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include of	opy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Compl	ete if Known
				Application No.	10/682,663
/	aa maay aha	odo oo n	20000001	Filing Date	October 9, 2003
(use as many sheets as necessary)				First Named Inventor	Clubb, lan James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	17	11	26	Attorney Docket No.	1160215/0509834

/T.H./	2	http://www-3.ibm.com/software/solutions/webservices/bpel.html
	4	WS-Coordination: WS-Coordination provides developers with a way to manage the operations related to a business activity. A business process may involve a number of Web services working together to provide a common solution. Each service needs to be able to coordinate its activities with those of the other services for the process to succeed. Coordination involves the sequencing of operations in a process to reach an agreement on the overall outcome of the business process.
		WS-Transaction: WS-Transaction allows businesses to monitor the success or failure of each specific, coordinated activity in a business process. It provides businesses with a flexible transaction protocol to help enable consistent and reliable operations across distributed organizations in a Web services environment. The specification also allows the business process to react to faults detected during execution.
	}	BPEL4WS: BPEL4WS is an XML-based flow language that defines how business processes interact. This interaction can involve processes contained within or between enterprises. It allows companies to describe complex business processes that can span multiple companies, such as order processing, lead management and claims handling. BPEL4WS replaces the existing IBM WSFL and Microsoft® XLANG efforts by combining and extending the functions of these previous foundation technologies.
	3	http://www-106.ibm.com/developerworks/webservices/library/ws-wsht/
1 1		IBM Web services provisioning
	4	http://www.altiris.com/
		Blade Server Support
	5	http://www.antssoftware.com/technology/ace.php3
.		Lock free databases: ANTS
	6	http://www.beowulf.org/overview/index.html
	*	Beowulf introduction
	7	http://www.beowulf.org/overview/faq.html
		Beowulf Overview
	8	http://www.brocade.com/
V		Brocade
		, I <u>, , , , , , , , , , , , , , , , , ,</u>

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether of	or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include copy of this	s form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for Form PTO 1449					
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Compl	ete if Known
	<b>5</b> //((22.))			Application No.	10/682,663
	many ahay	nto on	nagagang	Filing Date	October 9, 2003
(use as many sheets as necessary)				First Named Inventor	Clubb, Ian James, et al.
•				Art Unit	3629
				Examiner Name	
Sheet	18	11	26	Attorney Docket No.	1160215/0509834

	9	http://www.cdt.luth.se/~olov/publications/JHSN-98.pdf
/T.H./		Resource sharing in advance reservation agents, Olov Schelen and Stephen Pink, Computer Science and Electrical Engineering, Lulea University of Technology, Sweden
	10	http://www.clusterfs.com/
		Cluster File System / InterMezzo
	11	http://clustering.foundries.sourceforge.net/
		SourceForge
	12	http://www.cs.fsu.edu/~engelen/soap.html
		Microsoft sponsored standard submitted to IETF to wrapper message payloads of different types (e.g. XML, binary, JPEG), into a common message payload. The DIME standard makes it very simple to skip unwanted parts of the message (unlike the similar MIME function for E-mails). Integrating into a number of SOAP toolkits
	13	http://www.csm.ornl.gov/oscar/
		Oscar: Open source clustering application resources: OSCAR Components
	14	http://www.csm.ornl.gov/pvm/
		PVM
	15	http://www.csm.ornl.gov/torc/C3/
		C3
	16	http://www.cs.oberlin.edu/~jbasney/honors/thesis.html
		Programming Language Linda
	17	http://www.cs.umanitoba.ca/~pgraham/papers/hpcs98.pdf
		Managing Long Linked Lists Using Lock Free Techniques, Mohammad Farook and Peter Graham, University of Manitoba, Canada
	18	http://www.cs.wustl.edu/~schmidt/ACE-overview.html
		Source code about the Shared Memory management portion of the ACE library
V		Documentation of ACE C++ as a sample framework that supports dynamic loading

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered,	whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include	copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for	or Form PTO	1449			
			CLOSURE PPLICANT	Compl	ete if Known
				Application No.	10/682,663
(,,,,,	manu aha	oło oo	naccasand	Filing Date	October 9, 2003
(use	as many she	eis as	necessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	19	11	26	Attorney Docket No.	1160215/0509834

/T.H./	19	Reviewed Abstract Only	
1		http://www.cs.yale.edu/Linda/ap_and_piranha.html	
		Adaptive Parallelism and Piranha, Nick Carriero, Eric Freeman, David Gelernter and David Kaminsky.  Adaptive Parallelism and Piranha. Yale University, Feb. 1994	
		Abstract, full article requires IEEE subscription, abstracts from:  http://ieeexplore.ieee.org/xpl/freeabs_all.jsp?tp=&arnumber=362631&isnumber=8308	
		This paper appears in: Computer Publication Date: Jan 1995 Volume: 28, Issue: 1 On page(s): 40-49 ISSN: 0018-9162 References Cited: 12 CODEN: CPTRB4 INSPEC Accession Number: 4881874 Digital Object Identifier: 10.1109/2.362631 Posted online: 2002-08-06 20:02:51.0	
		Desktop computers are idle much of the time. Ongoing trends make aggregate LAN "waste"-idle compute cycles-an increasingly attractive target for recycling. Piranha, a software implementation of adaptive parallelism, allows these waste cycles to be recaptured by putting them to work running parallel applications. Most parallel processing is static: programs execute on a fixed set of processors throughout a computation. Adaptive parallelism allows for dynamic processor sets which means that the number of processors working on a computation may vary, depending on availability. With adaptive parallelism, instead of parceling out jobs to idle workstations, a single job is distributed over many workstations. Adaptive parallelism is potentially valuable on dedicated multiprocessors as well, particularly on massively parallel processors. One key Piranha advantage is that task descriptors, not processes, are the basic movable, remappable computation unit. The task descriptor approach supports strong heterogeneity. A process image representing a task in mid computation can't be moved to a machine of a different type, but a task descriptor can be. Thus, a task begun on a Sun computer can be completed by an IBM machine. The authors show that adaptive parallelism has the potential to integrate heterogeneous platforms seamlessly into a unified computing resource and to permit more efficient sharing of traditional parallel processors than is possible with current systems.	
	20	http://www.eecs.harvard.edu/dafs/ or http://www.acmqueue.org/modules.php?name=Content&pa=showpage&pid=48	
$oxed{V}$		DAFS- Direct Access File System	

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, wh	ether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include con	y of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute f	or Form PTC	1449			
			CLOSURE	Compl	ete if Known
				Application No.	10/682,663
4	as many she	oto oo	noooccan/)	Filing Date	October 9, 2003
(use	as many site	1612 92 1	riecessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	20	11	26	Attorney Docket No.	1160215/0509834

/T.H./	21	http://www.dell.com/downloads/global/products/pedge/en/pe1955_spec_sheet.pdf
, , , , , ,	1	Documentation/vendor products re: cluster in a chassis with the following features: node management, Hot swap, Integral Gigabit Ethernet networks, SAN or Network Attached Storage support, Integral storage modules
	22	http://www.dwheeler.com/program-library/Program-Library-HOWTO/shared-libraries.html
	23	http://freshmeat.net/browse/141/?topic_id=141
		Links from Freshmeat
	24	http://www.globus.org/alliance/publications/papers/iwqos.pdf
		A Distributed Resource Management Architecture that Supports Advance Reservations and Co-Allocation, Ian Foster, Mathematics and Computer Science Division, Argonne National Laboratory and Department of Computer Science, University of Chicago
	25	http://www.gnutella.co.uk/library/pdf/paper_final_gnutella_english.pdf
		Gnutella: Distributed System for Information Storage and Searching, Model Description, Fernando R. A. Bordignon, Gabriel H. Tolosa, bordi@unlu.edu.ar, tolosoft@unlu.edu.ar, División Estadística y Sistemas, Departamento de Ciencias Básicas, Universidad Nacional de Luján
	26	http://gridengine.sunsource.net/
	27	HP: http://h18004.www1.hp.com/products/blades/components/bladeservers.html
		Documentation/vendor products re: cluster in a chassis with the following features: node management, Hot swap, Integral Gigabit Ethernet networks, SAN or Network Attached Storage support, Integral storage modules
<u> </u>	28	http://www.ibiblio.org/pub/Linux/docs/HOWTO/other-formats/html_single/Beowulf-HOWTO.html
į.		Beowulf Clusters
	29	http://www.icewalkers.com/Linux/Software/513710/LUI.html
		LUI Linux Utility for cluster Install. The Linux Utility for cluster Install (LUI) utility an open-source project sponsored by IBM that was released in April of 2000 under the GPL (GNU Public License).
	30	http://www.ietf.org/html.charters/rserpool-charter.html
$\Psi$		The RSerPool standards

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, wh	ether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include cop-	v of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute f	or Form PT	O 1449			
			CLOSURE	Compl	ete if Known
				Application No.	10/682,663
(		0010 00 1	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Filing Date	October 9, 2003
(use	as many sh	6612 92 L	1 <del>0</del> 0055317)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	21	11	26	Attorney Docket No.	1160215/0509834

	31	http://www.iis.ee.ic.ac.uk/~frank/surp98/report/sha/	
/T.H./		SET / Secure Electronic Transaction Protocol	
	32	http://www.infinibandta.org/home	
		Infiniband: Next generation storage interconnect based on multiple of 2.5Gbit links	
	33	http://www.intel.com/	
		Technologies to support commercial clustering	ŀ
		Specifically the Intel® Cluster Toolkit for Linux. And Intel MPI Library.	
		Currently: http://www.intel.com/cd/software/products/asmo-na/eng/244171.htm	
	34	http://www.inter-mezzo.org/	
		InterMezzo: High availability distributed file system	
	35	http://www.isotton.com/howtos/C++dlopen-mini-HOWTO/C++-dlopen-mini-HOWTO.html	
		Dynamic loading of C++ classes.	
		Source Unavailable	
	36	www.ietf.org	
		Linux kernel LKSCTP under test with Kernel 2.5.29	
	37	http://java.sun.com/j2ee/download.html#platformspec	
		J2EE 1.4 Enterprise Edition Specification Proposed Final draft, August 19, 2002	
ii —	38	http://java.sun.com/webservices/docs.html	
		JSR-101, "Java API for SML base RPC 1.0, JAX-RPC?	
	39	http://jcp.org/aboutJava/communityprocess/first/jsr109/index.html	3534
	4)-2	JSR-109, "Web Services for J2EE, Versio 1.0 proposed final draft: August 19, 2002	47
	40	http://www.lam-mpi.org/	
V		LAM/MPI	

	•
EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether	ner or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Include copy of	of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <u>www.uspto.gov</u> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute	for Form PTC	1449			
			CLOSURE	Comple	ete if Known
				Application No.	10/682,663
(,,,,	as many she	acto co	nooneenn/l	Filing Date	October 9, 2003
(use	as many she	eis as i	necessary)	First Named Inventor	Clubb, Ian James, et al.
				Art Unit	3629
				Examiner Name	
Sheet	22	11	26	Attorney Docket No.	1160215/0509834

			·
	41	http://www.linux-mag.com/2002-04/compile_01.html	ļ
/T.H	./	Building and Using Shared Libraries, Requires subscription to access.	
1		Source Unavailable	
	42	http://www.lua.org/ddj.html	
		Doctor Dobb's Journal Lua Example	ļ
	43	http://www.lua.org/docs.html	
		Lua Home Page	}
	44	http://msdn.microsoft.com/msdnmag/issues/02/12/DIME/	
		Microsoft sponsored standard submitted to IETF to wrapper message payloads of different types (e.g. XML, binary, JPEG), into a common message payload. The DIME standard makes it very simple to skip unwanted parts of the message (unlike the similar MIME function for E-mails). Integrating into a number of SOAP toolkits	
	45	http://www.netlib.org/utk/papers/mpi-book/mpi-book.html	
		MPI Textbook	
	46	http://www.nfsv4.org/nfs4technifo.html	
		Network File System Version 4, RFC standards relating to the NVS protocol (CS file persistence), printed September 15, 2005	
	47	http://www.openclustergroup.org/	
		Oscar: Open source clustering application resources: OSCAR Components	1
	48	http://www.opengroup.org/onlinepubs/007908799/xsh/dlopen.html	
	1	for documentation of dlopen()	
	49	www.openldap.org	
		LDAP - Review LDAP for external application access to Hydra directory services if required	
	50	http://www.openp2p.com/pub/a/p2p/2004/04/16/matrix.html	
W		Open P2P website	

EXAMINER SIGNATURE _
----------------------

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Compl	Complete if Known	
(use as many sheets as necessary)				Application No.	10/682,663	
				Filing Date	October 9, 2003	
(use	as many sne	els as m	ecessary)	First Named Inventor	Clubb, Ian James, et al.	
				Art Unit	3629	
				Examiner Name		
Sheet 23 11 26		Attorney Docket No.	1160215/0509834			

S1				
52   http://www.openssh.com/   OpenSSH	/T 11 /		http://www.openpbs.org/	
OpenSSH	/ 1.11./	'	PBS	
S3   http://www.openssl.org/   OpenSSL		52		
OpenSSL		,	OpenSSH	 
http://parlweb.parl.clemson.edu/pvfs/   Parallel Virtual File System		53	http://www.openssl.org/	
Parallel Virtual File System    55			OpenSSL	
55   http://people.redhat.com/drepper/dsohowto.pdf		54	http://parlweb.parl.clemson.edu/pvfs/	
Linus shared library tutorial  56			Parallel Virtual File System	
56   www.qlogic.com   iSCSI: Hardware accelerated virtual SCSI connections over 1G and 10G Ethernet     57   http://www.quadrics.com/   supercomputer interconnect and resource management     58   www.qualcomm.com/press/PDF/BREW_whitepaper.pdf Alternate location:   http://whitepapers.zdnet.co.uk/0,1000000651,260064487p,00.htm Requires signup to download.   The Road to Profit is Paved with Data Revenue - QUALCOMM Internet Services White Paper - June, 2002   Source Unavailable     59   http://www.racemi.com/   Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."		55	http://people.redhat.com/drepper/dsohowto.pdf	
iSCSI: Hardware accelerated virtual SCSI connections over 1G and 10G Ethernet    157			Linus shared library tutorial	
57 <a href="http://www.quadrics.com/">http://www.quadrics.com/</a> supercomputer interconnect and resource management  58 <a href="www.qualcomm.com/press/PDF/BREW_whitepaper.pdf">www.qualcomm.com/press/PDF/BREW_whitepaper.pdf</a> Alternate location: <a href="http://whitepapers.zdnet.co.uk/0,1000000651,260064487p,00.htm">http://whitepapers.zdnet.co.uk/0,1000000651,260064487p,00.htm</a> Requires signup to download.  The Road to Profit is Paved with Data Revenue - QUALCOMM Internet Services White Paper - June, 2002 Source Unavailable  59 <a href="http://www.racemi.com/">http://www.racemi.com/</a> Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."  60 <a href="www.saforum.org/">www.saforum.org/</a>		56	www.qlogic.com	
supercomputer interconnect and resource management  58			iSCSI: Hardware accelerated virtual SCSI connections over 1G and 10G Ethernet	
58   www.qualcomm.com/press/PDF/BREW whitepaper.pdf Alternate location:   http://whitepapers.zdnet.co.uk/0,1000000651,260064487p,00.htm Requires signup to download.   The Road to Profit is Paved with Data Revenue - QUALCOMM Internet Services White Paper - June, 2002   Source Unavailable   59   http://www.racemi.com/    Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."		57	http://www.quadrics.com/	
http://whitepapers.zdnet.co.uk/0,1000000651,260064487p,00.htm Requires signup to download.  The Road to Profit is Paved with Data Revenue - QUALCOMM Internet Services White Paper – June, 2002 Source Unavailable  59 http://www.racemi.com/ Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."  60 www.saforum.org/			supercomputer interconnect and resource management	
The Road to Profit is Paved with Data Revenue - QUALCOMM Internet Services White Paper – June, 2002  Source Unavailable  59 http://www.racemi.com/ Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."  60 www.saforum.org/		58	www.qualcomm.com/press/PDF/BREW_whitepaper.pdf Alternate location:	
Source Unavailable   59   http://www.racemi.com/   Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."   60   www.saforum.org/			http://whitepapers.zdnet.co.uk/0,1000000651,260064487p,00.htm Requires signup to download.	
59 http://www.racemi.com/ Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."  60 www.saforum.org/			The Road to Profit is Paved with Data Revenue - QUALCOMM Internet Services White Paper - June, 2002	
Racemi DynaCenter scheduled for release in Q3 2002 that is claimed will "reconfigure network switching and storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."  60 www.saforum.org/			Source Unavailable	
storage on the fly to dynamically allocate server resources for use as a shared utility, in real-time."  60 www.saforum.org/		59	http://www.racemi.com/	
High availability specifications		60	www.saforum.org/	
	$\Psi$		High availability specifications	

EXAMINER SIGNATURE	DATE CONSIDERED	
<b>EXAMINER:</b> Initial if reference cor	sidered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not	ir
conformance and not considered	Include conv of this form with next communication to applicant.	

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <u>www.uspto.gov</u> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute	for Form PTC	1449					
			CLOSURE PPLICANT	Compl	nplete if Known		
				Application No.	10/682,663		
(use as many sheets as necessary)				Filing Date	October 9, 2003		
use	as many sin	eeis as	necessary)	First Named Inventor	Clubb, Ian James, et al.		
ı				Art Unit	3629		
				Examiner Name			
Sheet 24 11 26				Attorney Docket No.	1160215/0509834		

	61	http://save.wellsfargostore.com/wallet/Security.asp?SID	
   <sub>/T.F</sub>	4/	Wells Fargo Electronic Wallet Security Information	
1	`"	Source Unavailable	
	62	http://www.scali.com/	
		Scali	
	63	www.sctp.de	
		Linux kernel LKSCTP under test with Kernel 2.5.29	
		RSerPool assumes a new standard messaging protocol called SCTP	
	64	www.sctp.org	
		Linux kernel LKSCTP under test with Kernel 2.5.29	
		RSerPool assumes a new standard messaging protocol called SCTP	
	65	http://heather.cs.ucdavis.edu/~matloff/Linda/NotesLinda.NM.html	
		Linda Tutorial	
	66	http://www.sistina.com/products_gfs.htm	
		Sistina Software (volume management, and global file system)	
	67	http://www.sisuite.org/	
		System Installation Suite	
	68	http://www.sleepycat.com/docs/ref/toc.html	
		Product documentation about Berkeley DB	
	69	http://www.perfectxml.com/Xanalysis/TSG/TSG_DefiningWebServices.pdf	
		The Stencil Group: Defining Web Services	
	70	http://wwws.sun.com/software/gridware/	
V	/	Sun's Grid Engine software products designed to support both cluster and campus wide computing	

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference cor	sidered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered.	Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Compl	ete if Known
				Application No.	10/682,663
(use as many sheets as necessary)				Filing Date	October 9, 2003
(use	as many sne	1012 dS 116	icessaiy)	First Named Inventor	Clubb, Ian James, et al.
	•			Art Unit	3629
				Examiner Name	
Sheet	25	11	26	Attorney Docket No.	1160215/0509834

	71	http://supercluster.org/maui/	
/T.H./		Maui PBS Scheduler	
	72	http://www.textuality.com/bonnie/	
		Bonnie: File system benchmark	l
	73	http://www.theinquirer.net/?article=4438	
		Platform futures: Intel Tiger Xeon 1.6GB	
	74	http://www.mpi-forum.org/	
		MPI message passing interface	
	75	http://www-unix.mcs.anl.gov/mpi/mpich/	
1		MPICH	
	76	http://www.w3.org/TR/SOAP	
		SOAP 1.1, May 2000	
	77	http://www.w3.org/TR/2002/WD-soap12-part1-20020626	
		W3C SOAP Version 1.2 Part 1: Message Framework, Working Draft	
	78	http://www.w3.org/2001/03/WSWS-popa/paper51	
		IBM and Microsoft, Web Services Framework for W3C Workshop on Web Services, April 11-12, 2001, San Jose CA	
	79	http://www.xml.com/pub/r/1173	
		HTTPR – A reliable messaging standard intended for SOAP based in HTTP	
-	ļ·	CONVERGYS CROSS REFERENCES	
	1	Information Disclosure Statement for U.S. Application Serial No. 10/682,601 dated 10-27-2004	
	2	Office Action dated 12-11-2006 for U.S. Application Serial No. 10/682,601	
	3	Office Action dated 4-12-07 for U.S. Application Serial No. 10/682,601	

EXAMINER SIGNATURE	DATE CONSIDERED
<b>EXAMINER:</b> Initial if reference conside	red, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in
conformance and not considered. Incli	ide copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for	or Form PTO	1449			
	INFORMATION DISCLOSURE STATEMENT BY APPLICANT			Compl	ete if Known
				Application No.	10/682,663
(1100		to oo	2000000000	Filing Date	October 9, 2003
(use a	as many shee	us as	Hecessaly)	First Named Inventor	Clubb, lan James, et al.
				Art Unit	3629
				Examiner Name	
Sheet 26 11 26		Attorney Docket No.	1160215/0509834		

175 1 1 1	4	Information Disclosure Statement for U.S. Application Serial No. 11/197,597 filed 08-04-2005	T
/T.H./			╁
1	5	Information Disclosure Statement for U.S. Application Serial No. 11/197,597 filed 09-28-2005	
	6	Information Disclosure Statement for U.S. Application Serial No. 11/151,930 filed 11-28-2005	
	7	Information Disclosure Statement for U.S. Application Serial No. 10/190,844 filed 07-08-2002	
	8	Office Action dated 12-07-2005 for U.S. Application Serial No. 10/190,844	
	9	Information Disclosure Statement for U.S. Application Serial No. 10/190,844 filed 03-23-2006	
	10	Office Action dated 05-24-2006 for U.S. Application Serial No. 10/190,844	
	11	Information Disclosure Statement for U.S. Application Serial No. 09/425,548 filed 10-10-2000	
	12	Office Action dated 11-30-2000 for U.S. Application Serial No. 09/425,548 filed 11-30-2000	
	13	Office Action dated 11-30-2000 for U.S. Application Serial No. 09/425,548 filed 06-11-2001	
	14	Notice of References Cited for U.S. Application Serial No. 09/425,548	
	15	Information Disclosure Statement for U.S. Application Serial No. 09/961,673 dated 09-24-2001	
	16	Office Action dated 03-20-2002 for U.S. Application Serial No. 09/961,673	
	17	Office Action dated 11-14-2002 for U.S. Application Serial No. 09/961,673	
	18	Information Disclosure Statement for U.S. Application Serial No. 10/666,631	
	19	Information Disclosure Statement for U.S. Application Serial No. 09/709,942 dated 09-09-2001 (abandoned)	
$\top$	20	Notice of References Cited for U.S. Application Serial No. 09/709,942 (abandoned)	
1	21	Office Action undated for U.S. Application Serial No. 09/709,942 (abandoned)	
	22	Notice of References Cited for U.S. Application Serial No. 09/709,942 (abandoned)	1
	23	Office Action dated 12-22-2003 for U.S. Application Serial No. 09/709,942 (abandoned)	
$\top$	24	Office Action dated 06-21-2004 for U.S. Application Serial No. 09/709,942 (abandoned)	
	25	Office Action dated 12-06-2004 for U.S. Application Serial No. 09/709,942 (abandoned)	
$\Lambda$	26	Office Action dated 10-03-2005 for U.S. Application Serial No. 10/190,728, filed 07/08/2002	1

EXAMINER SIGNATURE //Thomas Hammond III/ DATE CONSIDERED 09/10/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.